

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Number : 10/022,438 Confirmation No.: 5099
Applicant : Allison Stoltz et al.
Filed : December 20, 2001
Title : SYSTEM AND METHOD FOR RISK ASSESSMENT
TC/Art Unit : 3623
Examiner: : David ROBERTSON

Docket No. : 52493.000230
Customer No. : 21967

U.S. Patent and Trademark Office
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**Petition to Withdraw Holding of Abandonment Based on Failure to Receive
Notice of Non-Compliant Amendment Pursuant to 37 C.F.R. §1.181**

Dear Sir:

This petition is presented for the purpose of requesting withdrawal of the holding of abandonment. Provided herewith is evidence that Applicant did not receive a copy of the Notice of Non-Compliant Amendment allegedly mailed November 6, 2008 in the above-captioned application.

Applicant received a Notice of Abandonment mailed May 13, 2009, alleging the above-captioned application was abandoned for failure to properly respond to the Notice of Non-Compliant Amendment dated November 6, 2008.

Neither Applicant nor Applicant's undersigned representatives received a copy of the Notice.

The address of record to which the Notice was supposedly mailed is: Hunton & Williams LLP, Intellectual Property Department, 1900 K Street, N.W., Suite 1200, Washington, D.C. 20006-1109, which is the mail repository for all in-coming mail from the PTO. Applicant's representatives enter all in-coming mail from the PTO in its docketing system. Had Applicant's

representatives received the Notice, the response due date would have been entered into the docketing system for December 6, 2008.

Attached hereto is Exhibit A, a declaration of James R. Miner, the attorney responsible for prosecuting the above-captioned application, indicating that the Notice was not received at the correspondence address of record, and that a search of the practitioner's records, including the file jacket and the application contents, indicates that the Office action was not received.

Also attached hereto is Exhibit B, a redacted copy of the master docket for the firm, where the non-received Office action would have been entered had it been received. The redacted copy of the master docket for the firm shows all replies docketed for the day of December 6, 2008, which includes the date one month from the alleged mail date of the Notice when the response would have been due. The docket reveals that no Response due date was docketed for the above-captioned application.

Also attached hereto is Exhibit C, a copy of the PTO mail log for the firm, where the non-received Office action would appear had it been received. The copy of the mail log for the firm shows all PTO correspondence received from the day of November 4, 2008 to December 8, 2008. The mail log reveals that no correspondence from the PTO was received in the above-captioned application.

The evidence presented herein shows that neither Applicant nor Applicant's representatives received the Notice allegedly mailed November 6, 2008. Accordingly, Applicant respectfully requests withdrawal of the holding of abandonment. Applicant further requests that a new Notice be issued and mailed to the mailing address of record.

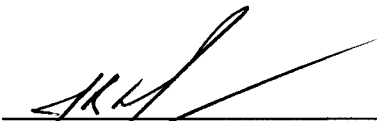
In addition, Applicant submits herewith a Reply to the Notice of Non-Compliant Amendment.

It is respectfully submitted that no fee is required for consideration of this Petition.
However, in the event any fee is deemed necessary, the Commissioner is authorized to charge
the undersigned's Deposit Account No. 50-0206.

HUNTON & WILLIAMS LLP

Dated: May 21, 2009

By:


James R. Miner
Registration No. 40,444

Telephone Number 703-714-7449
(Direct)

HUNTON & WILLIAMS
INTELLECTUAL PROPERTY DEPARTMENT
1900 K Street, Nw, Suite 1200
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JRM/dpm

Patent Application
U.S. Application No.: 10/022,438
Attorney Docket No.: 52493.000230

EXHIBIT A

Declaration of James R. Miner

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Number : 10/022,438 Confirmation No.: 5099
Applicant : Allison Stoltz et al.
Filed : December 20, 2001
Title : SYSTEM AND METHOD FOR RISK ASSESSMENT
TC/Art Unit : 3623
Examiner: : David ROBERTSON

Docket No. : 52493.000230
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U.S. Patent and Trademark Office
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Declaration of James R. Miner

I, James R. Miner, registration number 40,444, do hereby state as follows:

- 1) I am the attorney responsible for prosecuting the above-captioned application.
- 2) I am of counsel in the law firm of Hunton & Williams LLP, and I am familiar with the firm's docketing and in-coming mail procedures. To the extent I may not be completely cognizant of the applicable procedures for the present case, I have consulted with individuals at my firm responsible for these duties to become familiar with the procedures.
- 3) My firm, Hunton & Williams LLP, is currently prosecuting this application. The address of record is: Hunton & Williams LLP, Intellectual Property Department, 1900 K Street, N.W., Suite 1200, Washington, D.C. 20006-1109, which is the mail repository for all in-coming mail from the PTO.

4) Our docketing department enters all in-coming mail from the PTO in its docketing system. Had my firm received the Notice of Non-Compliant Amendment allegedly mailed November 6, 2008 ("Notice"), the response due date would have been entered into the docketing system for December 6, 2008. I have reviewed a copy of the master docket report for the day of December 6, 2008, and discovered that no response due date was docketed for the above-captioned application.

5) Our docketing department keeps a mail log for all in-coming mail from the PTO. Had my firm received the Notice of Non-Compliant Amendment allegedly mailed November 6, 2008 ("Notice"), the Notice would appear on the firm's PTO mail log. I have reviewed a copy of the mail log from the day of November 4, 2008 to December 8, 2008, and discovered that no correspondence was received for the above-captioned application.

6) Finally, I personally reviewed the file jacket for evidence of a paper copy of the Notice and found none.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: May 21, 2009



James R. Miner

Patent Application
U.S. Application No.: 10/022,438
Attorney Docket No.: 52493.000230

EXHIBIT B

Redacted Master Docket Report For
December 6, 2008

Thursday, December 04, 2008

Due Date List By Date

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
05-Dec-2008	US/Foreign Filing Due (2 mo.)	73444 - 000002	Pending	61/026269	05-Feb-2008	TMM
Reminder	US/Foreign Filing Reminders	United States of America				GYW
Resp.Off.: DC						

Title:

06-Dec-2008	Yearly Status Review	54936 - 003033	Pending	2610980		30-Jun-2006	BMB
Due Date	(F) Yearly Status Review	Canada					OAF
Resp.Off.: DC							SLW

Title:

06-Dec-2008	Article 19 Amend Claims (1 mo)	74349 - 000002	Pending	PCT/US08/74574		28-Aug-2008	RAK
Reminder	PCT-Article 19/Search Report	Patent Cooperation Treaty					DDR
Resp.Off.: AT							

Title:

06-Dec-2008	Foreign Filing Due (6 mo)	68865 - 001086	Pending	12/134783		06-Jun-2008	TEA
Reminder	Foreign Filing Reminders	United States of America					JAL
Resp.Off.: DC							

Title

Thursday, December 04, 2008

Due Date List By Date

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	File Application 6X	67519 - 001130	Unfiled			BMB
Due Date	US-File Application	United States of America				DGV
Resp.Off.: DC						JTA

Title:

06-Dec-2008	Notify FA H&W Responsible 2X	54936 - 003085	Granted	10756/01	06-Oct-2000	RMS
Due Date	(F) Transfer File to H&W	Australia				OAF
Resp.Off.: DC				781502	06-Oct-2000	DMB

Title:

06-Dec-2008	Status Inquiry Due 2X	54936 - 003084	Published	00972038.4	06-Oct-2000	RMS
Due Date	Status Inquiry Due	European Patent Convention		1230195	14-Aug-2002	OAF
Resp.Off.: DC						DMB

Title:

06-Dec-2008	Notify FA H&W Responsible 2X	54936 - 003084	Published	00972038.4	06-Oct-2000	RMS
Due Date	(F) Transfer File to H&W	European Patent Convention		1230195	14-Aug-2002	OAF
Resp.Off.: DC						DMB

Title

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Due Date List By Date

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Notify EA H&W Responsible 2X (F) Transfer File to H&W	54936 - 003087 Israel	Granted	149018 12/2004 149018	06-Oct-2000 20-Feb-2005 21-May-2005	RMS OAF DMB
Due Date						
Resp.Off.: DC						

Title:

06-Dec-2008	Notify EA H&W Responsible 2X (F) Transfer File to H&W	54936 - 003088 Japan	Pending	528120/2001	06-Oct-2000	RMS OAF DMB
Due Date						
Resp.Off.: DC						

Title

06-Dec-2008	Notify EA H&W Responsible 2X (F) Transfer File to H&W	54936 - 003089 Mexico	Granted	PA/a/2002/003511	06-Oct-2000	RMS OAF DMB
Due Date				231385	13-Oct-2005	
Resp.Off.: DC						

Title:

06-Dec-2008	Notify EA H&W Responsible 2X (F) Transfer File to H&W	54936 - 003091 New Zealand	Granted	518310	06-Oct-2000	RMS OAF DMB
Due Date				518310	08-Jun-2004	
Resp.Off.: DC						

Title:

Thursday, December 04, 2008

Due Date List By Date

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Response/Amendment Due (2 wks)	54936 - 003796	Pending	2004-505013	08-May-2003	RMS
Due Date	(F) Office Action/Extend 1 Mo.	Japan				OAF
Resp.Off.: DC						DMB

Title:

06-Dec-2008	US/Foreign Filing Due (6 mo)	67824 - 732000	Pending	61/059549	06-Jun-2008	TES
Reminder	US/Foreign Filing Reminders	United States of America				
Resp.Off.: DC						

Title:

06-Dec-2008	Response Office Action (1 mo)	68865 - 001100 / 005	Published	11/216874	30-Aug-2005	TEA
Reminder	US-Office Action (3 Month)	United States of America		US 2006-0047714 A1	02-Mar-2006	JBB
Resp.Off.: DC						

Title:

06-Dec-2008	US/Foreign Filing Due (6 mo)	67824 - 123456	Pending	61/059541	06-Jun-2008	TES
Reminder	US/Foreign Filing Reminders	United States of America				
Resp.Off.: DC						

Title:

Thursday, December 04, 2008

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	US/Foreign Filing Due (6 mo)	67824 - 735000	Pending	61/059335	06-Jun-2008	TES
Reminder	US/Foreign Filing Reminders	United States of America				
Resp.Off.: DC						

Title:

06-Dec-2008	US/Foreign Filing Due (6 mo)	67824 - 736000	Pending	61/059342	06-Jun-2008	TES
Reminder	US/Foreign Filing Reminders	United States of America				
Resp.Off.: DC						

Title:

06-Dec-2008	Filing Receipt Received? 4X	67824 - 736000	Pending	61/059342	06-Jun-2008	TES
Due Date	US-Filing Receipt	United States of America				
Resp.Off.: DC						

Title:

Due Date List By Date

04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008 Reminder Resp.Off.: DC	US/Foreign Filing Due (6 mo) US/Foreign Filing Reminders	67824 - 721000 United States of America	Pending	61/059347	06-Jun-2008	TES

Title:

06-Dec-2008 Reminder Resp.Off.: DC	US/Foreign Filing Due (6 mo) US/Foreign Filing Reminders	67824 - 722000 United States of America	Pending	61/059350	06-Jun-2008	TES
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Title:

06-Dec-2008 Reminder Resp.Off.: DC	US/Foreign Filing Due (6 mo) US/Foreign Filing Reminders	67824 - 720000 United States of America	Pending	61/059361	06-Jun-2008	TES
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Title

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008 Reminder Resp.Off.: DC	US/Foreign Filing Due (6 mo) US/Foreign Filing Reminders	67824 - 734000 United States of America	Pending	61/059368	06-Jun-2008	TES

Title:

06-Dec-2008 Reminder Resp.Off.: DC	US/Foreign Filing Due (6 mo) US/Foreign Filing Reminders	67824 - 724000 United States of America	Pending	61/059377	06-Jun-2008	TES
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Title:

06-Dec-2008 Reminder Resp.Off.: DC	US/Foreign Filing Due (6 mo) US/Foreign Filing Reminders	67824 - 726000 United States of America	Pending	61/059389	06-Jun-2008	TES
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Title:

Thursday, December 04, 2008

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Filing Receipt Received? 4X	67824 - 726000	Pending	61/059389	06-Jun-2008	TES
Due Date	US-Filing Receipt	United States of America				
Resp.Off.: DC						

Title:

06-Dec-2008	US/Foreign Filing Due (6 mo)	67824 - 727000	Pending	61/059327	06-Jun-2008	TES
Reminder	US/Foreign Filing Reminders	United States of America				
Resp.Off.: DC						

Title:

06-Dec-2008	US/Foreign Filing Due (6 mo)	67824 - 723000	Pending	61/059400	06-Jun-2008	TES
Reminder	US/Foreign Filing Reminders	United States of America				
Resp.Off.: DC						

Title:

Thursday, December 04, 2008

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008 Reminder Resp.Off.: DC	US/Foreign Filing Due (6 mo) US/Foreign Filing Reminders	67824 - 725000 United States of America	Pending	61/059432	06-Jun-2008	TES

Title:

06-Dec-2008 Reminder Resp.Off.: DC	US/Foreign Filing Due (6 mo) US/Foreign Filing Reminders	67824 - 718000 United States of America	Pending	61/059355	06-Jun-2008	TES
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Title:

06-Dec-2008 Due Date Resp.Off.: DC	Filing Receipt Received? 4X US-Filing Receipt	67824 - 719000 United States of America	Pending	61/059358	06-Jun-2008	TES
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Title:

Thursday, December 04, 2008

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	US/Foreign Filing Due (6 mo)	67824 - 719000	Pending	61/059358	06-Jun-2008	TES
Reminder	US/Foreign Filing Reminders	United States of America				
Resp.Off.: DC						

Title:

06-Dec-2008	US/Foreign Filing Due (6 mo)	67824 - 717000	Pending	61/059349	06-Jun-2008	TES
Reminder	US/Foreign Filing Reminders	United States of America				
Resp.Off.: DC						

Title:

06-Dec-2008	Filing Receipt Received? 4X	67824 - 716000	Pending	61/059345	06-Jun-2008	TES
Due Date	US-Filing Receipt	United States of America				
Resp.Off.: DC						

Title:

Due Date List By Date

04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	US/Foreign Filing Due (6 mo)	67824 - 716000	Pending	61/059345	06-Jun-2008	TES
Reminder	US/Foreign Filing Reminders	United States of America				
Resp.Off.: DC						

Title:

06-Dec-2008	US/Foreign Filing Due (6 mo)	67824 - 715000	Pending	61/059339	06-Jun-2008	TES	
Reminder	US/Foreign Filing Reminders	United States of America					
Resp.Off.: DC							

Title:

06-Dec-2008	File PCT Application (2 wk)	59046 - 000137	Unfiled			RMS	
Duc Date	New PCT Application	Patent Cooperation Treaty				KJK	
Resp.Off.: DC							

Title:

Due Date List By Date

04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008 Reminder Resp.Off.: AT	Article 19 Amend Claims (1 mo) PCT-Article 19/Search Report	74349 - 000006 Patent Cooperation Treaty	Pending	PCT/US08/74748	29-Aug-2008	RAK DDR

Title:

06-Dec-2008 Due Date Resp.Off.: DC	Response Due (Extended) (2 wk) EP-96(2)/Office Action(Extend)	74126 - 000011 / 004 European Patent Convention	Published	05852434.9 1874286	30-Nov-2005 09-Jan-2008	LHP RJM CJN
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Title:

06-Dec-2008 Due Date Resp.Off.: DC	Applicant/Assignee Change(2wk) (F) Applicant/Assignee Change	74126 - 000011 / 004 European Patent Convention	Published	05852434.9 1874286	30-Nov-2005 09-Jan-2008	LHP RJM CJN
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Title:

06-Dec-2008 Reminder Resp.Off.: DC	Record Appln in HK (2 mo) (F) Record Appln In Hong Kong	74126 - 000026 / 011 European Patent Convention	Published	06825924.1 1951702	13-Oct-2006 06-Aug-2008	LHP RJM CJN
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Title:

Thursday, December 04, 2008

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Notify EA H&W Responsible (F) Transfer File to H&W	74126 - 000024 / 011 Israel	Pending	190710	13-Oct-2006	LHP RJM CJN
Due Date						
Resp.Off.: DC						

Resp.Off.: DC

Title:

06-Dec-2008	Notify FA H&W Responsible (F) Transfer File to H&W	74126 - 000020 / 011 India	Pending	1631/KOLNP/2008		13-Oct-2006	LHP RJM CJN
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Resp.Off.: DC

Title:

06-Dec-2008	Notify FA H&W Responsible (F) Transfer File to H&W	74126 - 000014 / 010 Mexico	Pending	MX/a/2008/004951		17-Oct-2006	LHP RJM CJN
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Resp.Off.: DC

Title:

Due Date List By Date

04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Notify FA H&W Responsible (F) Transfer File to H&W	74126 - 000012 / 011 Mexico	Pending	MX/a/2008/004950	13-Oct-2006	LHP RJM CJN
Due Date						
Resp.Off.: DC						

Resp.Off.: DC

Title:

06-Dec-2008	File Corrective Assignment 2X US-File Assignment	74126 - 000009 / 004 United States of America	Granted	10/056528 US 2002-0082252 A1 7214711		23-Jan-2002 27-Jun-2002 08-May-2007	LHP RJM CJN
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Resp.Off.: DC

Title:

06-Dec-2008	File Change of Address 2X US-Transfer Application To H&W	74126 - 000037 / 010 United States of America	Pending	12/090301		15-Apr-2008	LHP RJM CJN
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Resp.Off.: DC

Title:

06-Dec-2008	File Corrective Assignment 2X US-File Assignment	74126 - 000036 / 009 United States of America	PRCV	60/727318		17-Oct-2005	LHP RJM CJN
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Resp.Off.: DC

Title:

Due Date List By Date

04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	File Fee Address Form 2X	74126 - 000009 / 004	Granted	10/056528	23-Jan-2002	LHP
Due Date	US-Fee Address Indication Form	United States of America		US 2002-0082252 A1	27-Jun-2002	RJM
Resp.Off.: DC				7214711	08-May-2007	CJN

Title:

06-Dec-2008	File Corrective Assignment 2X	74126 - 000032 / 007	Published	11/251724	17-Oct-2005	LHP	
Due Date	US-File Assignment	United States of America		US 2006-0089350 A1	27-Apr-2006	RJM	
Resp.Off.: DC						CJN	

Title:

06-Dec-2008	File Corrective Assignment 2X	74126 - 000008 / 001	Granted	09/470637	22-Dec-1999	LHP	
Due Date	US-File Assignment	United States of America		6495601	17-Dec-2002	RJM	
Resp.Off.: DC						CJN	

Title:

06-Dec-2008	File Revocation & New POA 2X	74126 - 000037 / 010	Pending	12/090301	15-Apr-2008	LHP	
Due Date	US-Transfer Application To H&W	United States of America				RJM	
Resp.Off.: DC						CJN	

Title:

Due Date List By Date

04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	File Corrective Assignment 2X	74126 - 000035 / 011	PRCV	60/727564	17-Oct-2005	LHP
Due Date	US-File Assignment	United States of America				RJM
Resp.Off.: DC						CJN

Title:

06-Dec-2008	File Fee Address Form 2X	74126 - 000008 / 001	Granted	09/470637	22-Dec-1999	LHP	
Due Date	US-Fee Address Indication Form	United States of America				RJM	
Resp.Off.: DC				6495601	17-Dec-2002	CJN	

Title:

06-Dec-2008	Notice of Appeal Due (2 wks)	58767 - 000048	Pending	10/496820	19-Nov-2004	RMS	
Due Date	US-Office Action FINAL	United States of America				JBV	
Resp.Off.: DC							

Title:

06-Dec-2008	Pre-Appeal Conference (2 wks)	58767 - 000048	Pending	10/496820	19-Nov-2004	RMS	
Due Date	US-Office Action FINAL	United States of America				JBV	
Resp.Off.: DC							

Title:

04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	File Application 1X	73885 - 000008	Unfiled			TEA
Due Date	US-File Application	United States of America				DDD
Resp.Off.: DC						

Title:

06-Dec-2008	Response Office Action (1 mo)	62165 - DA VI0011 / 001	Published	11/746464	09-May-2007	MPP
Reminder	US-Office Action (3 Month)	United States of America		US 2007-0221600 A1	27-Sep-2007	

Resp.Off.: DC

Title:

06-Dec-2008	Response Office Due (2 mo)	52493 - 000127	Published	09/788646	21-Feb-2001	JRM
Reminder	US-Office Action (3 Month)	United States of America		US 2002-0116229 A1	22-Aug-2002	

Resp.Off.: DC

Title:

06-Dec-2008	Appeal Brief Due (1 mo.)	42950 - 000020 / 001	Published	10/094658	12-Mar-2002	TMM
Reminder	US-Appeal Brief	United States of America		US 2003-033250 A1	13-Feb-2003	OAF
Resp.Off.: DC						GYW

Title:

04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Response Office Action (1 EOT)	47004 - 000115 / 001	Published	09/985900	06-Nov-2001	TMM
Due Date	US-Office Action (3 Month)	United States of America		US 2002-0116331 A1	22-Aug-2002	JRM
Resp.Off.: DC						

Title:

06-Dec-2008	IDS Considered?	47004 - 000414 / 006	Published	11/881304	26-Jul-2007	TMM
Due Date	US-IDS Filed	United States of America		US 2008-0010202 A1	10-Jan-2008	GYW
Resp.Off.: DC						

Title:

06-Dec-2008	Status Inquiry Due 1X	42950 - 000100 / 002	Published	11/556912	06-Nov-2006	TMM
Due Date	Status Inquiry Due	United States of America		US 2007-0061260 A1	15-Mar-2007	YSS
Resp.Off.: DC						

Title:

06-Dec-2008	Response/Amendment Due (2 wks)	62611 - 000348 / 001	Pending	10-2006-7015060	26-Jul-2006	LHP
Due Date	(F) Office Action	Korea, Republic of				RCL
Resp.Off.: DC						MLT

Title:

04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Status Inquiry Due 7X	59046 - 000026 / 001	Published	10/377628	04-Mar-2003	RMS
Due Date	Status Inquiry Due	United States of America		US 2004-0022768 A1	05-Feb-2004	SFY
Resp.Off.: DC						KJK

Title:

06-Dec-2008	Yearly Status Review	38523 - 000198	Published	04776064.0	20-May-2004	RMS	
Due Date	(F) Yearly Status Review	European Patent Convention		1624850	15-Feb-2006	SFY	
Resp.Off.: DC						CJN	

Title:

06-Dec-2008	Yearly Status Review IX	62770 - 000187 / 001	Pending	20061921	16-Sep-2004	JMM	
Due Date	(F) Yearly Status Review	Norway				DEB	
Resp.Off.: RI							

Title:

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Response Office Action (2 mo)	57941 - 000127 / 004	Published	12/174128	16-Jul-2008	TEA
Reminder	US-Office Action (3 Month)	United States of America		US 2008-0273647 A1	06-Nov-2008	
Resp.Off.: DC						

Title:

06-Dec-2008

Due Date

Resp.Off.: DC

EP Response Office Action Due	57941 - 000091	Published	03761276.9	20-Jun-2003	TEA
EP-96(2)/Office Action	European Patent Convention		1518161	30-Mar-2005	

Title:

06-Dec-2008

Reminder

Resp.Off.: DC

Response Office Action (1 mo)	72167 - 000237 / 001	Published	09/779950	09-Feb-2001	TMM
US-Office Action (3 Month)	United States of America		US 2001-0034682 A1	25-Oct-2001	YSS

Title:

06-Dec-2008

Due Date

Resp.Off.: DC

IDS Considered?	72167 - 000639 / 003	Published	11/844903	24-Aug-2007	TMM
US-IDS Filed	United States of America		US 2008-0027861 A1	31-Jan-2008	SLW

Title:

Thursday, December 04, 2008

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Election/Restrict Due (3 EOT)	55320 - 000401	Published	10/519142	27-Dec-2004	TES
Due Date	US-Election/Restriction-1 mo.	United States of America		US 2006-0115411 A1	01-Jun-2006	DMB
Resp.Off.: DC						

Title:

06-Dec-2008	Status Inquiry Due 2X	62803 - 000058	Published	11/275038	05-Dec-2005	RLT
Due Date	Status Inquiry Due	United States of America		US 2007-0129621 A1	07-Jun-2007	RAK
Resp.Off.: DC						JBV

Title:

06-Dec-2008	Yearly Status Review	61633 - 001177 / 002	Published	2008-503055	22-Mar-2006	JMM
Due Date	(F) Yearly Status Review	Japan		2009-535685	04-Sep-2008	DEB
Resp.Off.: RI						GMM

Title:

Thursday, December 04, 2008

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Appeal Brief Due	72167 - 000504 / 002	Pending	09/707587	07-Nov-2000	TMM
Due Date	US-Appeal Brief	United States of America				JRM
Resp.Off.: DC						

Title:

06-Dec-2008

Due Date

Resp.Off.: DC

Status Inquiry Due 9X

Status Inquiry Due

47004 - 000344 / 001

United States of America

Pending

11/447031

06-Jun-2006

TMM

OAF

GYW

Title:

06-Dec-2008

Due Date

Resp.Off.: DC

Projected Publication Date 2X

US-Projected Publication Date

68865 - 001061 / 001

United States of America

Pending

11/864144

28-Sep-2007

TEA

Title:

06-Dec-2008

Reminder

Resp.Off.: DC

Resp/Ntc of Appeal Due (1 mo)

US-Office Action FINAL

72167 - 000611 / 002

United States of America

Pending

11/783831

12-Apr-2007

TMM

JSL

Title:

Thursday, December 04, 2008

Due Date List By Date

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008 Reminder Resp.Off.: DC	Pre-Appeal Conference (1 mo) US-Office Action FINAL	72167 - 000611 / 002 United States of America	Pending	11/783831	12-Apr-2007	TMM JSL

Title:

06-Dec-2008 Reminder Resp.Off.: DC	Response Office Action (1 mo) US-Office Action (3 Month)	68865 - 001033 / 001 United States of America	Published	11/549428 US 2007-0088922 A1	13-Oct-2006 19-Apr-2007	TEA JBB
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Title:

06-Dec-2008 Reminder Resp.Off.: DC	Resp/Ntc of Appeal Due (2 mo) US-Office Action FINAL	47004 - 000387 / 001 United States of America	Pending	11/551966	23-Oct-2006	TMM YSS
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Title:

06-Dec-2008 Reminder Resp.Off.: DC	Pre-Appeal Conference (2 mo) US-Office Action FINAL	47004 - 000387 / 001 United States of America	Pending	11/551966	23-Oct-2006	TMM YSS
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Title:

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Due Date List By Date

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	File Application 13X	62941 - 002239 / 001	Unfiled			JMM
Due Date	US-File Application	United States of America				DEB
Resp.Off.: RI						

Title:

06-Dec-2008	Amend Application? (1 mo)	38523 - 000193	Pending	2005/08086	04-Mar-2004	RMS
Due Date	ZA-Acceptance Deadline	South Africa				SFY
Resp.Off.: DC						KJK

Title:

06-Dec-2008	2nd Extended Acceptance Due (1 mo)	38523 - 000193	Pending	2005/08086	04-Mar-2004	RMS
Due Date	ZA-Acceptance Deadline	South Africa				SFY
Resp.Off.: DC						KJK

Title:

06-Dec-2008	Request Examination Due (1 yr)	66904 - 000007	Pending	5289/DELNP/2008	17-Nov-2006	JMM
Reminder	(F) Request Examination-3 year	India				DEB
Resp.Off.: RI						

Title:

Thursday, December 04, 2008

Due Date List By Date

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Projected Publication Date 10X	60497 - 000049	Pending	11/363938	01-Mar-2006	TMM
Due Date	US-Projected Publication Date	United States of America				RAK
Resp.Off.: DC						

Title:

06-Dec-2008	Status Inquiry Due 15X	67607 - 000065	Published	10/516188	17-Aug-2005	ECR
Due Date	Status Inquiry Due	United States of America		US 2006-0257463 A1	16-Nov-2006	
Resp.Off.: NY						

Title:

06-Dec-2008	Response NTFMP (1 mo)	67824 - 428925 / 014	Pending	11/877178	23-Oct-2007	TES
Reminder	US-Missing Parts	United States of America				KJK
Resp.Off.: DC						

Title:

06-Dec-2008	IDS-Int'l Search Report (1 mo)	67824 - 618730 / 001	Published	11/455693	20-Jun-2006	TES
Reminder	US-IDS Int'l Search Report (ISR)	United States of America		US 2007-0037212 A1	15-Feb-2007	
Resp.Off.: DC						

Title:

Thursday, December 04, 2008

Due Date List By Date

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008 Final	Article 19 Amend Claims-FINAL	67824 - 618702	NAT PHASE	PCT/US06/23892	20-Jun-2006	TES
Resp.Off.: DC	PCT-Article 19/Search Report	Patent Cooperation Treaty		WO 2007/002026	04-Jan-2007	

Title:

06-Dec-2008 Reminder	Annuity Due (1 mo.) (F) Annuity Due	67824 - 593052 Canada	Pending	2597085	06-Jan-2006	TES
Resp.Off.: DC						

Title:

06-Dec-2008 Reminder	Annuity Due (1 mo.) (F) Annuity Due	67824 - 593057 European Patent Convention	Published	06733857.4 1851548	06-Jan-2006 07-Nov-2007	TES
Resp.Off.: DC						

Title:

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase	Status Client	Country	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Request Examination Due (1 mo)	67824 - 593066	Pending	Japan	2007-555113	06-Jan-2006	TES
Due Date	(F) Request Examination-3 year						
Resp.Off.: DC							

Title:

06-Dec-2008	Annuity Due (1 mo.)	67824 - 593070	Pending	Norway	2007-4143	06-Jan-2006	TES
Reminder	(F) Annuity Due						
Resp.Off.: DC							

Title:

06-Dec-2008	IDS Due (1 mo)	64480 - 001177 / 003	Pending	United States of America	12/246173	06-Oct-2008	RAK BLJ
Reminder	Information Disclosure Stmt						
Resp.Off.: DC							

Title:

Thursday, December 04, 2008

Due Date List By Date

04-Dec-2008 To 06-Dec-2008

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Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008 Reminder Resp.Off.: DC	IDS Due (1 mo) Information Disclosure Stmt	64480 - 001064 / 001 United States of America	Pending	12/246173	06-Oct-2008	RAK BLJ

Title:

06-Dec-2008 Final Resp.Off.: DC	Request for Reconsideration US-Request for Reconsideration	49765 - 010003 United States of America	Pending	11/411917	27-Apr-2006	BMB JAL
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Title:

06-Dec-2008 Due Date Resp.Off.: DC	Status Inquiry Due 3X Status Inquiry Due	66672 - 005006 United States of America	Published	11/512256 US 2008-0057881 A1	30-Aug-2006 06-Mar-2008	TAC
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Title:

06-Dec-2008 Final Resp.Off.: DC	Associate Confirmation Rec'd? 1X (F) Instructed Associate	67898 - 701652 Canada	Unfiled			TES
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Title:

Thursday, December 04, 2008

Due Date List By Date

04-Dec-2008 To 06-Dec-2008

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Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Yearly Status Review (F) Yearly Status Review	68018 - 000028 Brazil	Pending	PI0417217-5	02-Dec-2004	ECR
Due Date						
Resp.Off.: NY						

Resp.Off.: NY

Title:

06-Dec-2008	File Voluntary Amendment (2wk)	68018 - 000037	Published	200680031185.6	20-Jul-2006	ECR	
Due Date	CN-Rule 51 Voluntary Amendment	China (Peoples Republic)		CN101248442A	20-Aug-2008		

Resp.Off.: NY

Title:

06-Dec-2008	Yearly Status Review 4X (F) Yearly Status Review	67607 - 000190 Mexico	Pending	4005434	22-Nov-2002	ECR	
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Resp.Off.: NY

Title:

06-Dec-2008	Article 19 Amend Claims (1 mo)	67858 - 701902 / 002	Pending	PCT/US08/64414	21-May-2008	TES	
Reminder	PCT-Article 19/Search Report	Patent Cooperation Treaty				RCL	
Resp.Off.: DC						KJK	

Title:

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Yearly Status Review 4X (F) Yearly Status Review	62941 - 002300 India	Pending	1665/DEL/2007	06-Aug-2007	JMM GMM
Resp.Off.: RI						

Title:

06-Dec-2008	Rescind Nonpubl'n Reminder	47004 - 000478 / 002	Pending	11/987966	06-Dec-2007	TMM
Due Date	US-Nonpublication 122(b) Filed	United States of America				JRM
Resp.Off.: DC						

Title:

06-Dec-2008	PCT Form IPEA/416 & IPEA/409	68320 - 000015 / 007	Published	PCT/US07/69650	24-May-2007	ECR
Due Date	PCT-CIP (ORD) PCT Actions	Patent Cooperation Treaty		WO 2008/011221	02-May-2008	
Resp.Off.: NY						

Title:

06-Dec-2008	Appeal Brief Due-FINAL (2wks)	67519 - 001034	Pending	10/642897	18-Aug-2003	BMB
Due Date	US-Appeal Brief	United States of America				DGV
Resp.Off.: DC						JBB

Title:

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Response Office Action (1 EOT)	67519 - 001068	Published	11/173063	30-Jun-2005	BMB
Due Date	US-Office Action (3 Month)	United States of America		US 2007-0000996 A1	04-Jan-2007	DGV
Resp.Off.: DC						PLE

Title:

06-Dec-2008	IDS Due (1 mo)	58767 - 000047 / 004	Pending	12/246294	06-Oct-2008	RMS
Reminder	Information Disclosure Stmt	United States of America				JBV
Resp.Off.: DC						

Title:

06-Dec-2008	Response Office Action (1 mo)	67519 - 001081	Pending	11/742967	01-May-2007	BMB
Reminder	US-Office Action (3 Month)	United States of America				DGV
Resp.Off.: DC						

Title:

06-Dec-2008	Final Response Due (w/ 1 EOT)	60299 - 001021 / 001	Published	11/772634	02-Jul-2007	JSL
Due Date	US-Office Action FINAL	United States of America		US 2008-0010296 A1	10-Jan-2008	GYW
Resp.Off.: DC						

Title:

Due Date List By Date

04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Notice of Appeal Due (w/1 EOT)	60299 - 001021 / 001	Published	11/772634	02-Jul-2007	JSL
Due Date	US-Office Action FINAL	United States of America		US 2008-0010296 A1	10-Jan-2008	GYW
Resp.Off.: DC						

Title:

06-Dec-2008	Pre-Appeal Conference(w/1 EOT)	60299 - 001021 / 001	Published	11/772634	02-Jul-2007	JSL
Due Date	US-Office Action FINAL	United States of America		US 2008-0010296 A1	10-Jan-2008	GYW
Resp.Off.: DC						

Title:

06-Dec-2008	Recorded Assign Rec'd? 7X	66857 - 000044	Published	11/695489	02-Apr-2007	RMS
Due Date	US-Assignment Filed	United States of America		US 2007-0270541 A1	22-Nov-2007	JBV
Resp.Off.: DC						

Title:

06-Dec-2008	Demand Due - 19 mo. (1 mo.)	68767 - 000034	Pending	PCT/US08/66173	06-Jun-2008	RLT
Reminder	Demand for Examination	Patent Cooperation Treaty				MPP
Resp.Off.: DC						

Title:

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Yearly Status Review (F) Yearly Status Review	62941 - 002342 / 001 Canada	Pending		06-Dec-2007	JMM GMM

Resp.Off.: RI

Title:

06-Dec-2008	Filing Receipt Received? 2X	67824 - 703201 / 001	Pending	12/134302	06-Jun-2008	TES
Due Date	US-Filing Receipt	United States of America				
Resp.Off.: DC						

Title:

06-Dec-2008	Power of Attorney Accepted? 4X	68936 - 001093 / 002	Pending	10/734740	11-Dec-2003	RMS JBV
Due Date	US-Power of Attorney Filed	United States of America				
Resp.Off.: DC						

Title:

Thursday, December 04, 2008

Due Date List By Date

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	Information Disclosure Stmt 2X	47004 - 000515 / 001	Pending	12/043760	06-Mar-2008	TMM
Due Date	US-Information Disclosure Stmt	United States of America				OAF
Resp.Off.: DC						DDD

Title:

06-Dec-2008	Notice of Appeal Due (w/1 EOT)	69816 - 000002	Published	11/568539	31-Oct-2006	EJH
Due Date	US-Office Action FINAL	United States of America		US 2007-0214933 A1	20-Sep-2007	
Resp.Off.: AT						

Title:

06-Dec-2008	Pre-Appeal Conference(w/1 EOT)	69816 - 000002	Published	11/568539	31-Oct-2006	EJH
Due Date	US-Office Action FINAL	United States of America		US 2007-0214933 A1	20-Sep-2007	
Resp.Off.: AT						

Title:

06-Dec-2008	Status Inquiry Due 1X	69643 - 001502	Pending	2003 0299/03	26-Feb-2003	EJH
Due Date	Status Inquiry Due	Switzerland				DDR
Resp.Off.: AT						

Title:

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	IDS Considered?	60838 - 000471 / 001	Published	10/527071	11-Jan-2006	RMS
Due Date	US-IDS Filed	United States of America		US 2006-0107469 A1	25-May-2006	DMB
Resp.Off.: DC						

Title:

06-Dec-2008	Acceptance of Withdrawal Rec'd? IX	65746 - 000023	PRNC	60/981863	23-Oct-2007	BMB	
Due Date	US-Attorney Withdrawal Filed	United States of America				YSS	
Resp.Off.: DC						OAF	

Title:

06-Dec-2008	Prescribed Fees Due (2 wks)	67876 - 705102	Pending	PCT/US08/82996	10-Nov-2008	TES	
Due Date	PCT-Prescribed Fees Notice	Patent Cooperation Treaty					
Resp.Off.: DC							

Title:

06-Dec-2008	US/Foreign Filing Due (2 wk.)	68320 - 000023	Pending	61/015376	20-Dec-2007	ECR	
Reminder	US/Foreign Filing Reminders	United States of America					
Resp.Off.: NY							

Title:

Thursday, December 04, 2008

Due Date List By Date

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04-Dec-2008 To 06-Dec-2008

Due Date Indicator	Action Due Action Type	Client-Matter No. / SubCase Country	Status Client	App Number Pub Number Pat Number Appeal Number	App Date Pub Date Iss Date	Attys
06-Dec-2008	US/Foreign Filing Due (2 wk.)	68320 - 000022	Pending	61/015360	20-Dec-2007	ECR

Reminder

US/Foreign Filing Reminders

Resp.Off.: NY

Title:

06-Dec-2008	Notice of Acceptance Rec'd? 2X	60838 - 000760	Pending	12/063100	06-Feb-2008	RMS
Due Date	US-Notice of Acceptance Rec'd?	United States of America				DMB

Resp.Off.: DC

Title:

06-Dec-2008	Filing Receipt Received?	60838 - 000760	Pending	12/063100	06-Feb-2008	RMS
Due Date	Filing Receipt	United States of America				DMB

Resp.Off.: DC

Title:

06-Dec-2008	Information Disclosure Stmt 2X	73444 - 000002 / 001	Pending	12/043408	06-Mar-2008	TMM
Due Date	US-Information Disclosure Stmt	United States of America				GYW

Resp.Off.: DC

Title:

Thursday, December 04, 2008

Report Selection

RecordCount: 376

- ☒ by Due Date
☐ by Due Date (Calendar)
☐ by Attorney
☐ by Attorney (Via Email)
☐ by Client
☐ by Owner
☐ by Agent
☐ by Family

Report Format

- ☐ Concise
☒ Comprehensive

Assignment

- ☐ Print
☒ Do Not Print

Past Reminders

- ☐ Include
☒ Do Not Include

Images/Links

- ☐ Print
☒ Do Not Print

Remarks

- ☐ Print
☒ Do Not Print

Inventors

- ☐ Print
☒ Do Not Print

Preview before printing ☒

From Date: 04-Dec-2008

To Date: 06-Dec-2008

Status(es):

Case Type(s):

Action Type:

Action Due:

Indicator:

Client:

Agent:

Owner:

Country:

Area:

Status Codes:

- ☐ Active
☐ Inactive
☒ All

Resp.Office:

Attorney:

EXHIBIT C

Hunton & Williams U.S.P.T.O. Mail Log
for November 4, 2008 to December 8, 2008

Date	Attorney	Mail Date	Client/Matter	Application No	Filing Date	Inventor/ Applicant	Correspondence	Country
11/04/08	Sabrina	10/15/2008	56162.000579	10/306020	11/27/200		Maintenance Fee Statement	USA
11/04/08	RMS/OAF/JBV	10/30/2008	54936.003444	08/532995	9/22/1995	Virgil Meier	Notice of Acceptance of Power of Atto	USA
11/04/08	TES	11/3/2008	67900.420801	10/863234	6/9/2004	Michael Kenneth	Notice of Abandonment	USA
11/04/08	TMM/YSS	11/3/2008	72167.000654	12/254333	10/20/200	Milton Anderson	Filing Receipt	USA
11/04/08	TMM/YSS	11/3/2008	72167.000654	12/254333	10/20/200	Milton Anderson	Notice to File Corrected Appln. Paper	USA
11/04/08	TAC/JRM	11/3/2008	46417.001021	10/814651	4/1/2004	Michael Coluzzi	Maintenance Fee Statement	USA
11/04/08	RMS/JBV	11/3/2008	58767.000049	12/247072	10/7/2008	Gregoire Prevost	Notice of Acceptance of Power of Atto	USA
11/04/08	RMS/JBV	11/3/2008	66857.000044	11/695489	4/2/2007	Anthony Paul Davi	Election/Restriction Requirement	USA
11/04/08	RMS/JBV	11/3/2008	58767.000049	12/247072	10/7/2008	Gregoire Prevost	Filing Receipt	USA
11/04/08	RMS/JBV	11/3/2008	58767.000049	12/247072	10/7/2008	Gregoire Prevost	Notice to File Corrected Appln. Paper	USA
11/05/08	TMM/GYW	11/4/2008	60497.000016	10/735714	12/16/200	Venkatesan Shan	Letters Patent Grant	USA
11/05/08	TEAYSS/DDDD	11/4/2008	57983.000080	10/254861	9/26/2002	Glenn Algie	Letters Patent Grant	USA
11/05/08	TES	11/4/2008	59053.000003	10/546186	8/18/2005	Torben Larsen	Letters Patent Grant	USA
11/05/08	YSS	11/4/2008	65845.000003	11/770633	6/28/2007	Akinori Yoneda	Notice Regarding Change in Power of	USA
11/05/08	TES/KJK	11/4/2008	67824.426603	12/041956	3/4/2008	Alexey Pronin	Notice of Publication	USA
11/05/08	MPP	11/4/2008	64553.001230	12/037396	2/26/2008	Thomas Hawkins	Notice of Publication	USA
11/05/08	TEA/DGV/PLE	11/4/2008	60291.000061	11/852876	9/10/2007	Hans-Juergen Sch	Notice of Publication	USA
11/05/08	RMS/DMB	11/4/2008	60838.000122	12/166941	7/2/2008	Ian Harrison	Notice of Publication	USA
11/05/08	RMS/JBV	11/4/2008	66692.000004	11/577162	6/26/2008	Herve Burriez	Notice of Publication	USA

Date	Attorney	Mail Date	Client/Matter	Application No	Filing Date	Inventor/ Applicant	Correspondence	Country
11/05/08	ECR	11/4/2008	67963.000003	10/744344	12/23/200	Mikola Grechanyu	Final Office Action	USA
11/05/08	EJH	11/4/2008	69643.001401	11/386951	3/22/2006	Karl-Heinz Restle	Office Action	USA
11/05/08	TMM/YSS/GYW	11/4/2008	72167.000634	11/873845	10/17/200	Richaed Re	Election/Restriction Requirement	USA
11/05/08	RMS/SFY/KJK	11/4/2008	59046.000044	10/733488	12/10/200	Yaron Ilan	Final Office Action	USA
11/05/08	TES/KJK	11/4/2008	67824.407222	10/724223	12/1/2003	Jon Elliot Adler	Notice of Allowance and Issue Fee D	USA
11/05/08	TEA/GYW	11/5/2008	64981.000062	11/620595	1/5/2007	Piotr Lubicki	Office Action	USA
11/05/08	TEA/GYW	11/4/2008	64981.000111	12/254496	10/20/200	Shigemi Murakaw	Filing Receipt	USA
11/05/08	BLJ	11/3/2008	64480.001155	09/076843	5/13/1998	Mario Cadorette	Decision on Petition	USA
11/05/08	TEA	11/4/2008	57941.000124	12/166248	7/1/2008	Donald Stark	Notice of Publication	USA
11/05/08	LHP/RCL/MLT	11/4/2008	62611.000386	90/009107	4/14/2008	David Kyle	REX Office Action	USA
11/06/08	TEA/GYW	11/5/2008	64981.000047	11/550140	10/17/200	Rajesh Dorai	Office Action	USA
11/06/08	BMB/YSS/JTA	11/5/2008	68268.000012	11/618361	12/29/200	Seung Chan Bang	Office Action	USA
11/06/08	LHP/RCL/CJN	11/5/2008	68600.000003	11/597879	6/29/2007	Akira Ito	Final Office Action	USA
11/06/08	TMM/JRM	11/5/2008	40011.000010	12/129394	5/29/2008	Mary Ann Belivea	Updated Filing Receipt	USA
11/06/08	RMS/RLT/RJM	11/5/2008	73690.000113	12/211780	9/16/2008	Jane Hirsh	Decision on Petition	USA
11/06/08	TMM/GYW	11/5/2008	47004.000527	11/978856	10/30/200	Sheila Butler	Regarding Rescission of Nonpublicati	USA
11/06/08	BMB/GYW	11/5/2008	53470.003067	10/991089	11/18/200	Jeffrey Bedell	Notice of Panel Decision from Pre-App	USA
11/06/08	MPP	11/5/2008	69409.001053	61/108729	10/27/200	Bo Pilsmo	Filing Receipt	USA
11/06/08	TMM/YSS	11/5/2008	72167.000656	12/254247	10/20/200	Sumit Mathar Indi	Filing Receipt	USA

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11/07/08	RAK/DDR	11/6/2008	74349.000002	US08/74574	8/28/2008	Lionel Newman	PCT-International Search Report	USA
11/07/08	RAK/DDR	10/29/2008	62136.000054	11/311663	12/20/200	Shawn McGill	Notice of Abandonment	USA
11/07/08	RAK/DDR	11/6/2008	74349.000004	US08/74748	8/31/2007	Lionel Newman	PCT-International Search Report	USA
11/07/08	JRM	11/6/2008	52493.000127	09/788646	2/21/2001	Tanya Chowdry	Office Action	USA
11/07/08	TMM/YSS	11/6/2008	47004.000387	11/551966	10/23/200	Milton Anderson	Final Office Action	USA
11/07/08	EJH	10/31/2008	73141.000004	10/459397	7/16/2008	Para Segaram	Final Office Action	USA
11/07/08	TEA	11/6/2008	57941.000127	12/174128	7/16/2008	Para Segaram	Office Action	USA
11/07/08	BMB/DGV	10/31/2008	67519.001103	11/855897	9/14/2007	Raymond Pereira	Office Action	USA
11/10/08	PAD	11/7/2008	64118.000015	11/370896	3/9/2006	Scott Glenn	Final Office Action	USA
11/10/08	TMM/OAF/SLW	11/5/2008	72167.000658	11/289517	11/30/200	Thomas Connelly	Issue Notification	USA
11/10/08	RMS/JRM	11/7/2008	57761.002041	09/708492	11/9/2000	Pui Lun Lau	Final Office Action	USA
11/10/08	RMS/AHS	11/7/2008	67987.000002	10/578493	5/5/2006	Laurent Desire	Final Office Action	USA
11/10/08	LHP/RCL/AHS	11/7/2008	62610.000059	11/955176	12/12/200	Gary Pasternack	Office Action	USA
11/10/08	BLT	11/7/2008	64337.000005	11/469751	9/1/2006	John Lair	Office Action	USA
11/10/08	RMS/AHS	11/7/2008	60240.000009	11/412899	4/28/2006	Mustapha El Belg	Final Office Action	USA
11/10/08	TEA	11/7/2008	64981.000063	11/567522	12/6/2006	Russell J. Low	Notice of Allowance and Issue Fee D	USA
11/10/08	TMM/OAF/SLW	11/7/2008	72167.000535	11/311261	12/20/200	Jim J. Manelis	Interview Summary	USA
11/10/08	BMB/GYW	11/5/2008	53470.008008	09/952016	9/14/2001	Microstrategy	Issue Notification	USA
11/10/08	BMB/OAF	11/7/2008	65746.000005	11/216040	9/1/2005	Jeremy Horn	Decision on Petition	USA

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11/10/08	BMB/GYW	11/7/2008	67012.000005	11/421552	6/1/2006	Ahsley Hatcher	Notice of Allowance and Issue Fee D	USA
11/10/08	EJH	11/6/2008	69816.000008	11/908577	3/14/2008	Christopher Adam	Notice of Acceptance of Application	USA
11/10/08	ECR	11/7/2008	67607.000197	11/191726	7/25/2005	David Pasco	Advisory Action	USA
11/12/08	TEA/RCL	11/7/2008	64470.000027	11/567525	12/6/2006	Weiping Liu	Interview Summary	USA
11/12/08	TEA/RCL	11/7/2008	64470.000006	10/935118	9/8/2004	Benlih Huang	Interview Summary	USA
11/12/08	TEA/RCL	11/7/2008	64470.000022	11/422782	6/7/2006	Benlih Huang	Interview Summary	USA
11/12/08	TEA/RCL	11/7/2008	64470.000018	11/360812	2/24/2006	Benlih Huang	Interview Summary	USA
11/13/08	TMM/OAF/SLW	11/10/2008	47004.000314	11/147204	6/8/2005	Pik Kwan Lo	Final Office Action	USA
11/13/08	TMM/OAF/GTW	11/12/2008	47004.000222	10/337265	1/7/2003	Melissa Alarcon-L	Office Action	USA
11/13/08	TEA/GYW	11/10/2008	57983.000059	10/143889	5/14/2002	How Kee Au	Notice of Allowance and Issue Fee D	USA
11/13/08	RMS/JBV	11/10/2008	58767.000027	11/752180	5/22/2007	Marie-Odile Galce	Advisory Action	USA
11/13/08	LHP/RJM	11/10/2008	73551.000002	10/542883	12/27/200	Frederick John Ro	Interview Summary	USA
11/13/08	RMS/DMB	11/10/2008	73381.000009	12/258027	10/24/200	Eli Cohen	Notice to File Missing Parts	USA
11/14/08	RMS/JBV	11/12/2008	58767.000044	12/283131	9/8/2008	Bernadette Pignol	Notice to File Missing Parts	USA
11/14/08	EJT/KAL	11/17/2008	69287.000002	PCT/US08/7	7/30/2007	James Dean Stath	PCT-International Search Report	USA
11/14/08	RLT/JSL	11/12/2008	62922.000005	10/935123	9/8/2004	Anthony C. Fasce	Final Office Action	USA
11/14/08	RLT/RAK/JBV	11/12/2008	62803.000048	10/792862	3/5/2004	Samir S. Mitragotri	Election/Restriction Requirement	USA
11/14/08	JRM	11/12/2008	52493.000185	10/171572	6/17/2002	Piero Patrone Bon	Office Action	USA
11/14/08	RMS/AHS/CJN	11/14/2008	65084.000035	10/327288	12/20/200	Bayer Bioscience	Letters Patent Grant	USA

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11/14/08	TMM/SLW	11/12/2008	47004.000359	11/289872	11/29/200	Francis B. Brake J	Final Office Action	USA
11/14/08	TEA/DDD	11/12/2008	58367.000003	09/996475	11/20/200	Vladislav Olchans	Final Office Action	USA
11/14/08	TAC/JRM	11/12/2008	64373.001016	11/399462	4/7/2006	Gregory D. Sleepe	Office Action	USA
11/14/08	TMM/JRM	11/12/2008	72167.000519	09/448738	11/24/199	Dean K. Lehman	Office Action	USA
11/14/08	TEA/DDD	11/14/2008	61913.000002	10/171917	6/14/2002	Invision Networks,	Letters Patent Grant	USA
11/14/08	BMB/JTA	11/12/2008	73591.000004	10/808894	3/24/2004	Gregory Ellis	Notice of Non-Compliant Amendment	USA
11/14/08	RMS/AHS/CJN	11/14/2008	58777.000017	10/518759	12/21/200	Takekuni Nakama	Letters Patent Grant	USA
11/14/08	TMM/YSS	11/12/2008	47004.000246	10/784951	2/25/2004	James P. McClem	PTO Communication	USA
11/14/08	TEA/JRM	11/10/2008	60291.000019	10/466792	8/4/2004	Gerald Voegelé	Interview Summary	USA
11/17/08	BMB/DGV	11/14/2008	BMB/DGV	11/173651	6/30/2005	Gregory W. Lamb	Notice of Abandonment	USA
11/17/08	RMS/JBV	11/14/2008	58779.000040	11/113187	4/25/2005	Jean-Laurent Prad	Notice of Allowance and Issue Fee D	USA
11/17/08	LHP/AHS	11/12/2008	62610.000035	10/724900	12/2/2003	Alex. Sulakvelidze	Issue Notification	USA
11/17/08	LHP/RCL/AHS	11/13/2008	62610.000050	11/764587	6/18/2007	Gary Pasternack	Notice of Allowance and Issue Fee D	USA
11/17/08	TES/RCL	11/13/2008	60820.000003	10/354090	1/30/2003	Eivind Per Thor St	Sequence Listing	USA
11/17/08	TMM/JSL	11/14/2008	72167.000592	11/279851	4/17/2006	Ashvin Bonafede	Notice of Allowance and Issue Fee D	USA
11/17/08	TES	11/14/2008	67824.407505	11/555617	11/1/2006	Xiaodong Li	Election/Restriction Requirement	USA
11/17/08	TES	11/14/2008	55320.001032	11/412910	4/28/2006	Steen Brummerst	Notice of Non-Compliant	USA
11/17/08	BMB/ERD	11/13/2008	54941.000043	10/862920	6/7/2004	Elliot Shmukler	Interview Summary	USA
11/17/08	TEA	11/13/2008	66391.000002	10/527693	3/15/2005	Vladimir Ceperkov	Election/Restriction Requirement	USA

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11/17/08	LHP/AHS	11/14/2008	62610.000053	11/764608	6/18/2007	Alexander Sulakv	Final Office Action	USA
11/17/08	LHP/DMB	11/12/2008	62732.001223	11/537968	10/2/2006	Jagan N. Thupari	Issue Notification	USA
11/17/08	RLT/JSL	11/13/2008	62922.000002	10/679472	10/7/2003	Anthony C. Fasce	Office Action	USA
11/17/08	MPP	11/12/2008	69409.001022	29/267161	10/6/2006	Christian Agren	Issue Notification	USA
11/17/08	BMB/DGV/SLW	11/14/2008	33878.000034	11/230648	9/21/2005	William Randolph	Office Action	USA
11/17/08	TEA	11/13/2008	57983.000177	10/944945	9/21/2004	Lawrence Gerard	Office Action	USA
11/17/08	LHP/RCL/CJN	11/13/2008	62610.000040	11/806353	5/31/2007	Alexander Sulakv	Final Office Action	USA
11/17/08	TEA/DDD	11/13/2008	57983.000167	10/739299	12/19/200	Martin Soukup	Office Action	USA
11/17/08	RMS/RLT/RJM	11/13/2008	73690.000120	10/690872	10/22/200	Jane Hirsh	Office Action	USA
11/17/08	TMM/GYW	11/12/2008	72167.000588	11/350104	2/9/2006	Bruce Zimmerman	Issue Notification	USA
11/18/08	RMS/JBV	11/17/2008	62745.000015	11/031705	1/7/2005	Valerie Arranz	Office Action	USA
11/18/08	TMM/DGV/PLE	11/17/2008	54525.000118	11/415268	5/2/2006	Patrick Barry	Decision on Petition	USA
11/18/08	TEA/DGV/PLE	11/17/2008	60291.000023	10/829387	4/22/2004	Han-Juergen Sch	Decision on Petition	USA
11/18/08	JSL	11/14/2008	60299.001008	10/357405	2/4/2003	David Bayliss	Final Office Action	USA
11/18/08	TMM/JSL	11/18/2008	72167.000597	11/420631	5/26/2006	Craig Spielmann	Notice of Allowance and Issue Fee D	USA
11/18/08	BMB/DDDD	11/17/2008	53470.003048	10/043263	1/14/2002	Benjamin Li	Final Office Action	USA
11/18/08	TEA/YSS	11/12/2008	60291.000036	10/546816	8/28/2006	Roy Knechtel	Office Action	USA
11/18/08	JRM/TAC	11/17/2008	52493.000253	10/602594	6/25/2003	Viren Kapadia	Notice of Abandonment	USA
11/18/08	RMS/OAF/JBB	11/17/2008	54936.004144	12/260605	10/29/200	Marcus Anthony B	Notice to File Missing Parts	USA

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11/20/08	TMM/JSL	11/17/2008	72167.000112	09/470180	12/22/199	Jay Merves	IDS Considered	USA
11/20/08	DDR	11/18/2008	74531.000002	12/263291	10/31/200	Anthony D'Ella	Notice of Incomplete Reply	USA
11/20/08	RMS/OAF/JBB	11/17/2008	54936.004144	12/260605	10/29/200	Marcus Anthony B	Filing Receipt	USA
11/20/08	TMM/JRM	11/19/2008	47004.000322	11/137409	5/26/2005	Glenn Cobourn E	Election/Restriction Requirement	USA
11/20/08	JRM	11/18/2008	56730.000010	11/341463	1/30/2006	Beverly C. Phifer	Final Office Action	USA
11/20/08	LHP/AHS	11/18/2008	62610.000048	11/220076	9/6/2005	Gary R. Pasternac	Advisory Action	USA
11/20/08	ECR	11/18/2008	67562.000055	11/380235	4/26/2006	Jiri Babej	Office Action	USA
11/20/08	TEA/DGV	11/17/2008	65465.001002	11/292113	12/2/2005	Gary Austin	Notice Regarding Change in Power of	USA
11/20/08	RMS/AHS/CJN	11/17/2008	65084.000060	12/260014	10/28/200	Volker Landschutz	Notice of Acceptance of Power of Atto	USA
11/20/08	RMS/AHS/CJN	11/17/2008	65084.000060	12/260014	10/28/200	Volker Landschutz	Filing Receipt	USA
11/20/08	TMM/OAF/SLW	11/17/2008	47004.000574	29/327422	11/5/2008	Manning Field	Filing Receipt	USA
11/20/08	TEA/DDD	11/17/2008	73885.000007	61/111665	11/5/2008	Vivek Nautiyal	Filing Receipt	USA
11/21/08	TMM/YSS	11/19/2008	47004.000254	10/874227	6/24/2004	Laura Ferris	Office Action	USA
11/21/08	TAC	11/19/2008	37100.010092	12/038151	2/27/2008	Barth Robins Pitch	Office Action	USA
11/21/08	TMM/YSS	11/19/2008	33616.005006	11/117613	4/29/2005	Andrew Hunt	Office Action	USA
11/21/08	TES/KJK	11/19/2008	67824.407527	11/599346	11/15/200	Jon Elliot Adler	Final Office Action	USA
11/21/08	EJH	11/19/2008	69816.000005	11/568540	6/1/2007	Christopher Adam	Office Action	USA
11/21/08	LHP/RAK	11/19/2008	99997.029263	10/091173	3/6/2002	John Voneiff	Final Office Action	USA
11/24/08	TES/KJK	11/21/2008	67824.407213	12/251770	10/15/200	Jon Elliot Adler	Filing Receipt	USA

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11/24/08	MPP	11/20/2008	64553.001239	12/247766	10/8/2008	John Morphey	Updated Filing Receipt	USA
11/24/08	EJH	11/20/2008	69816.000003	11/568541	2/15/2008	Christopher Adam	Notice of Acceptance of Power of Atto	USA
11/24/08	MPP	11/21/2008	64553.001006	11/123106	5/19/2008	Greg Luebbering	Notice of Publication	USA
11/24/08	TMM/GYW	11/20/2008	72167.000657	12/261259	10/30/200	Bruce Zimmerman	Notice to File Corrected Application P	USA
11/24/08	LHP/RCL	11/21/2008	63024.000002	11/667966	9/23/2003	Dong Xie	Office Action	USA
11/24/08	TES/AHS/KJK	11/21/2008	67824.407114	12/185392	8/4/2008	Xiaodong Li	Filing Receipt	USA
11/24/08	LHP/CJN	11/21/2008	68600.000004	11/632306	8/31/2007	Kazuhiro Kondo	Notice of Publication	USA
11/24/08	LHP/AHS	11/21/2008	65286.000003	12/092255	4/30/2008	Edward Schuler	Notice of Publication	USA
11/24/08	EJH	11/21/2008	69816.000009	11/908582	3/14/2008	Christopher Adam	Notice of Publication	USA
11/24/08	TMM/YSS	11/21/2008	47004.000567	12/176658	7/21/2008	Tracy Pletz	Notice of Publication	USA
11/24/08	RLT/JSL/JBB	11/21/2008	63001.000050	12/116917	5/7/2008	Louis Slothouber	Notice of Publication	USA
11/24/08	RMS/JBV	11/21/2008	66535.000007	11/915179	7/3/2008	Daniel Bur	Notice of Publication	USA
11/24/08	MPP	11/21/2008	64553.001012	12/123117	5/19/2008	Vince Bobrosky	Notice of Publication	USA
11/24/08	RLT/JSL/JBB	11/21/2008	63001.000049	12/116912	5/7/2008	Louis Slothouber	Notice of Publication	USA
11/24/08	BMB/OAF/SLW	11/13/2008	54936.003756	09/349718	7/8/1999	Jorn Karg	Notice of Acceptance of Power of Atto	USA
11/24/08	TES/KJK	11/21/2008	67824.407213	12/251770	10/15/200	Jon Elliot Adler	Notice Regarding Power of Attorney	USA
11/24/08	TES/KJK	11/21/2008	67824.407213	12/251770	10/15/200	Jon Elliot Adler	Notice to File Corrected Application P	USA
11/24/08	TEA	11/20/2008	57983.000158	10/799703	3/15/2004	Jozef Babiarz	Examiner's Answer	USA
11/24/08	TEA/JBB	11/24/2008	68865.001005	10/780004	2/17/2004	Michael Rowan	Final Office Action	USA

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11/24/08	TES/KJK	11/20/2008	67824.407523	11/599360	11/15/200	Jon Elliot Adler	Final Office Action	USA
11/24/08	TEA/DDD	11/20/2008	57983.000159	10/917340	8/13/2004	Eric Bernier	Final Office Action	USA
11/24/08	TMM/OAF/SLW	11/21/2008	72167.000518	11/185847	7/21/2005	Dmitry Goldman	Final Office Action	USA
11/24/08	EJH	11/20/2008	69816.000004	11/568537	10/31/200	Christopher Adam	Notice Regarding Change in Power of	USA
11/24/08	TES/AHS/KJK	11/21/2008	67824.407114	12/185392	8/4/2008	Xiaodong Li	Notice Regarding Change in Power of	USA
11/24/08	RMS/DMB	11/20/2008	60838.000670	11/630725	6/15/2005	Melissa Manuszak	Notice Regarding Change in Power of	USA
11/24/08								
11/24/08	RHL/EJH	11/20/2008	69739.000006	61/113752	11/12/200	Scott Walker	Filing Receipt	USA
11/24/08	TES	11/20/2008	67824.735000	61/059335	6/6/2008	Albert Zlotnik	Corrected Filing Receipt	USA
11/24/08	TMM/GYW	11/20/2008	72167.000657	12/261259	10/30/200	Bruce Zimmerman	Filing Receipt	USA
11/24/08	TMM/OAF/GYW	11/19/2008	42950.000020	10/094658	3/12/2002	Robert Mayes	Notice of Refund	USA
11/25/08	EJH	11/21/2008	72942.000003	12/261139	10/30/200	Philipp Hess	Notice to File Missing Parts	USA
11/25/08	TES/KJK	11/25/2008	67824.407204	10/724222	12/1/2003		Letters Patent Grant	USA
11/25/08	TMM/YSS/SLW	11/25/2008	42950.000025	10/136360	5/2/2002		Letters Patent Grant	USA
11/25/08	BMB/JSL/ERD	11/24/2008	74097.000007	29/295886	10/9/2007	Gilbert Fuchsberg	Office Action	USA
11/25/08	BMB/DGV	11/24/2008	67519.001004	11/561210	11/17/200	Lianghan Chen	Office Action	USA
11/25/08	TEA/GYW	11/24/2008	64981.000071	11/685348	3/13/2007	Alexander S. Pere	Office Action	USA
11/25/08	LHP/AHS	11/21/2008	62610.000054	11/721422	6/11/2007	Alex. Sulakvelidze	Notification of Missing Requirements	USA
11/25/08	BMB/OAF/ITAC	11/24/2008	54936.003017	29/318862	5/29/2008	Matthew L. Phillip	Notice of Allowance and Issue Fee D	USA

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11/25/08	ECR	11/24/2008	68107.000002	10/595902	1/10/2007	Ziduo Liu	Office Action	USA
11/25/08	TEA	11/24/2008	68865.001094	11/455124	6/15/2006	Gregory A. Becker	Election/Restriction Requirement	USA
11/25/08	TES	11/24/2008	67824.428105	11/395375	4/3/2006	Guy Servant	Office Action	USA
11/25/08	TMM/OAF/SLW	11/19/2008	47004.000535	29/303983	2/21/2008	JPMorgan	Issue Notification	USA
11/26/08	TAC	11/21/2008	56162.000382	10/735678	12/16/200	Mark Moore	Not if Non-Compliant (Transfer)	USA
11/28/08	LHP/AHS	11/17/2008	62610.000054	11/721422	6/11/2007	Alexan Sulakvelid	Decision on Petition	USA
12/01/08	TMM/OAF/DDD	11/28/2008	72167.000280	10/087385	3/1/2002	Mark Beard	Advisory Action	USA
12/01/08	MPP	11/28/2008	64553.001158	11/692483	3/28/2007	Greg Sepke	Advisory Action	USA
12/01/08	TMM/JSL	11/26/2008	72167.000443	10/386218	3/10/2003	Anthony Granite	Examiner's Answer	USA
12/01/08	tac	11/26/2008	37100.010094	12/201429	8/29/2008	Barth Robins Plich	Updated Filing Receipt	USA
12/01/08	JRM	11/25/2008	52493.000553	10/371721	2/19/2003	Robert Bua	Office Action	USA
12/01/08	RMS/DMB	11/24/2008	60838.000340	10/499456	2/7/2005	Bruno Bavouzet	Final Office Action	USA
12/01/08	TEAYSS	11/26/2008	60291.000051	11/568827	9/24/2007	Kariheinz Freywal	Office Action	USA
12/01/08	TMM/OAF/SLW	11/26/2008	72167.000539	11/289517	11/30/200	Thomas Connelly	Letters Patent Grant	USA
12/01/08	tea/gyw	11/26/2008	57983.000041	09/865667	5/29/2001	Michael Lee	Notice of Allowance and Issue Fee D	USA
12/01/08	LHP/DMB	11/26/2008	62732.001233	12/266425	11/6/2008	Jagan Thupari	Notice to file Corrected Appln Papers	USA
12/01/08	BMB/DGV/JTA	11/26/2008	67519.001064	11/169221	6/28/2005	Clyde Edmonds, J	Notice of Abandonment	USA
12/01/08	LHP/CJN	11/28/2008	62785.000009	11/785328	4/17/2007	Richard Lepage	Notice to File Corrected Appln Papers	USA
12/01/08	PAD/PDM	11/28/2008	64118.000212	11/341488	1/30/2006	Steven Tethrake	Office Action (Transferred)	USA

Date	Attorney	Mail Date	Client/Matter	Application No	Filing Date	Inventor/ Applicant	Correspondence	Country
12/01/08	TES	11/28/2008	67858.702001	61/117811	11/25/200	Jeffrey Smith	Notice to File Missing Parts	USA
12/01/08	RMS/JBV	11/28/2008	58767.000012	10/575249	4/10/2006	Pierre-Etienne Chab	Notice of Abandonment	USA
12/01/08	RMS/RCL	11/28/2008	62745.000004	10/231889	8/29/2002	Eustrate Avramea	Advisory Action	USA
12/01/08	TMM/JSL	11/28/2008	47004.000389	11/346181	2/3/2006	Rama Variankaval	Advisory Action	USA
12/01/08	RMS/DMB	11/26/2008	63049.001025	11/636505	12/11/200	Ronald Blum	1 month Office Action	USA
12/01/08	BMB/GYW	11/26/2008	53470.008008	09/952016	9/14/2001	Michael Saylor	Letters Patent Grant	USA
12/01/08	RMS/AHS/CJN	11/25/2008	65084.000041	11/793263	5/30/2008	Geraldine Kok-Jac	Corrected Filing Receipt	USA
12/01/08	RMS/AHS/CJN	11/25/2008	65084.000050	11/996061	1/17/2008	Claus Frohberg	Filing Receipt	USA
12/01/08	LHP/DMB	11/26/2008	62732.001223-	12/266425	11/6/2008	Jagan Thupari	Filing Receipt	USA
12/01/08	TMM/JRM	11/26/2008	47004.000555	12/268773	11/11/200	Russell Anderson	Filing Receipt	USA
12/01/08	RMS/AHS	11/25/2008	67987.000009	12/182881	7/30/2008	Genevieve Martin	Filing Receipt	USA
12/01/08	TEA/JAL	11/25/2008	68865.001107	12/268122	11/10/200	Jeremy Swift	Filing Receipt	USA
12/01/08	LHP/CJN	11/28/2008	73962.000003	61/108312	10/24/200	Ali Saberi	Filing Receipt	USA
12/01/08	TES	11/28/2008	67858.702001	61/117811	11/25/200	Jeffrey Smith	Filing Receipt	USA
12/01/08	MPP	11/28/2008	66965.000005	11/864007	9/28/2007	Ernest Ogden	Corrected Filing Receipt	USA
12/01/08	MPP	11/28/2008	66965.000006	12/176889	7/21/2008	Ernest Ogden	Corrected Filing Receipt	USA
12/01/08	LHP/CJN	11/28/2008	62785.000009	11/785328	4/17/2007	Richard Lepage	Filing Receipt	USA
12/01/08	TEA/DDD	11/12/2008	73885.000006	61/111658	11/5/2008	Vivek Nautiyal	Filing Receipt	USA
12/01/08	RMS/JBV	11/12/2008	66857.000050	12/176884	7/21/2008	Eric Verscheure	Updated Filing Receipt	USA

Date	Attorney	Mail Date	Client/Matter	Application No	Filing Date	Inventor/ Applicant	Correspondence	Country
12/01/08	TES/KJK	11/12/2008	67824.428926	12/177925	7/23/2008	Jon Elliot Adler	Updated Filing Receipt	USA
12/01/08	TES	11/12/2008	60117.000018	61/110049	10/31/200	Soren Hern	Filing Receipt	USA
12/01/08	TMM/JRM	11/26/2008	47004.000555	12/268773	11/11/200	Russell Anderson	Notice to file Corrected Appln Papers	USA
12/01/08	JRM	11/26/2008	61765.001003	10/162217	6/5/2002	Kannan Ramanat	Notice of Abandonment	USA
12/01/08	MPP	11/28/2008	64553.001189	29/303287	2/5/2008	Brian Wang sun	Notice of Allowance and Issue Fee D	USA
12/01/08	BMB/DGV	11/26/2008	67519.001094	11/857609	9/19/2007	Betsy Ebersole	Office Action	USA
12/01/08	RMS/AHS/CJN	11/26/2008	65084.000021	10/591428	9/1/2006	Claus Froberg	Office Action	USA
12/01/08	DGV/GYW	11/28/2008	66005.000002	10/986768	11/15/200	Simin Cai	Office Action	USA
12/01/08	LHP/RJM	12/1/2008	62994.000004	11/529586	9/29/2006	Hugh Payton	Office Action	USA
12/01/08	RMS/DMB	11/28/2008	60838.000111	11/266554	11/3/2005	Jean-Christophe	Office Action	USA
12/01/08	TEA	11/25/2008	64470.000028	11/552908	10/25/200	Carig Merritt	Final Office Action	USA
12/01/08	JRM	11/25/2008	52493.000367	10/777649	2/13/2004	Michael David Met	Final Office Action	USA
12/01/08	TMM/RAK	11/25/2008	60497.000040	10/869911	6/18/2004	Helen Bjork	Final Office Action	USA
12/01/08	RLT/JS/DDR	11/25/2008	62922.000004	10/679268	10/7/2003	Anthony Fascend	Office Action	USA
12/01/08	BMB/DGV/SEO	11/25/2008	67519.001035	10/642948	8/18/2003	Robert White	Final Office Action	USA
12/01/08	BMB/ERD	11/24/2008	54941.000043	10/862920	6/7/2004	Elliot Shmukler	Office Action	USA
12/01/08	TMM/JRM	11/26/2008	47004.000121	10/050531	1/18/2002	Martin Mahoney	Office Action	USA
12/01/08	JRM	11/26/2008	52493.000258	10/331460	12/31/200	Timothy Ress	Office Action	USA
12/01/08	LHP/RJM	11/28/2008	62994.000003	11/239473	9/30/2005	Hugh Payton	Office Action	USA

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12/01/08	TMM/JSL	11/25/2008	47004.000168	10/284394	10/31/200	Marc Fredman	Office Action	USA
12/01/08	TMM/JSL	11/25/2008	47004.000096	10/287558	11/5/2002	Shelley Sanders	Office Action	USA
12/01/08	TES	11/26/2008	56819.468403	10/814293	4/1/2004	Paul Stark	Final Office Action (Transferred)	USA
12/01/08	BMB/DGV	11/26/2008	69385.000008	11/125833	5/10/2005	Mark Kaplan	Final Office Action	USA
12/01/08	TEA/JBB	11/26/2008	68865.001014	10/924559	8/24/2004	Jeff Darcy	Final Office Action	USA
12/01/08	TMM/JRM	11/26/2008	47004.000111	09/994725	11/28/200	Robert Rosko	Office Action	USA
12/03/08	MPP	11/25/2008	64480.001068	29/303358	2/7/2008		Issue Notification	USA
12/03/08	RMS/AHS/CJN	11/25/2008	65084.000015	11/233089	9/23/2005	Claus Froberg	Interview Summary	USA
12/03/08	TMM/YSS/JAL	11/25/2008	47004.000489	11/745320	5/7/2007		Issue Notification	USA
12/03/08	DGV	12/1/2008	24124.000132	09/505721	2/17/2000		Notice of Allowance and Issue Fee D	USA
12/03/08	MPP	11/25/2008	64480.001069	29/303360	2/7/2008		Issue Notification	USA
12/03/08	MPP	11/25/2008	64480.001076	29/300007	2/7/2008		Issue Notification	USA
12/03/08	TMM/OAF/SLW	11/25/2008	47004.000537	29/303976	2/21/2008		Issue Notification	USA
12/03/08	MPP	11/25/2008	64480.001066	29/303354	2/7/2008		Issue Notification	USA
12/03/08	MPP	11/25/2008	64480.001075	29/303368	2/7/2008		Issue Notification	USA
12/03/08	MPP	11/25/2008	64480.001070	29/303361	2/7/2008		Issue Notification	USA
12/03/08	RMS/SFY/KJK	11/25/2008	38523.000068	10/843322	5/12/2004		Issue Notification	USA
12/03/08	MPP	11/25/2008	64480.001067	29/303355	2/7/2008		Issue Notification	USA
12/03/08	MPP	11/25/2008	64480.001073	29/303365	2/7/2008		Issue Notification	USA

Date	Attorney	Mail Date	Client/Matter	Application No	Filing Date	Inventor/ Applicant	Correspondence	Country
12/03/08	MPP	11/25/2008	64480.001071	29/303364	2/7/2008		Issue Notification	USA
12/05/08	LHP/RJM/CJN	12/2/2008	74126.000004	11/130945	3/17/2005	Daryl Hochman	Notice of Acceptance of Power of Atto	USA
12/05/08	BMB/DGV/JTA	12/3/2008	67519.001020	10/235237	9/4/2002	Gia Owens	Interview Summary	USA
12/05/08	SFY/KJK	12/2/2008	68550.000003	11/690037	3/22/2007	Ken Marcoon	Notice of Allowance and Issue Fee D	USA
12/05/08	RMS/AHS/CJN	12/3/2008	65084.000028	11/039756	1/19/2005	Arnd Heyer	Notice of Allowance and Issue Fee D	USA
12/05/08	BMB/OAF/TAC	12/2/2008	54936.004151	29/319851	6/26/2008	Matthew Phillips	Notice of Allowance and Issue Fee D	USA
12/05/08	TMM/YSS	12/3/2008	47004.000062	09/688694	10/17/200	Christopher R. Lef	Decision on Petition	USA
12/05/08	RMS/DMB	12/3/2008	60838.000810	12/162341	7/25/2008		Decision on Petition	US
12/05/08	RMS/JBV	12/2/2008	66636.000005	11/368367	3/3/2006	Barry Victor Lloyd	Advisory Action	USA
12/05/08	BMB	11/17/2008	54941.000008	09/185624	11/4/1998		Maintenance Fee Statement	USA
12/05/08	TMM/YSS/JAL	12/2/2008	47004.000573	12/271180	11/14/200	Gregory Shields	Filing Receipt	USA
12/05/08	RLT/RAK	11/17/2008	62803.000040	10/411156	4/11/2003		Maintenance Fee Statement	USA
12/05/08	RMS/JRM	11/17/2008	57761.002044	09/343456	6/30/1999		Maintenance Fee Statement	USA
12/05/08	BMB	11/17/2008	53470.000062	09/480894	1/11/2000		Maintenance Fee Statement	USA
12/05/08	TMM/OAF/DDD	11/17/2008	47004.000232	10/441067	5/20/2003		Maintenance Fee Statement	USA
12/05/08	LHP/CJN	11/13/2008	62781.000004	09/550605	4/17/2000		Maintenance Fee Statement	USA
12/05/08	RMS/AHS	12/3/2008	67987.000004	10/584304	6/23/2006	Bart Staelis	Election/Restriction Requirement	USA
12/05/08	EJH	12/2/2008	69816.000004	11/568537	10/31/200	Christopher Adam	Notice of Publication	USA
12/05/08	MPP	12/5/2008	66965.000005	11/864007	9/28/2007	Ernest Ogden	Notice of Publication	USA

Date	Attorney	Mail Date	Client/Matter	Application No	Filing Date	Inventor/ Applicant	Correspondence	Country
12/05/08	RMS/DMB	12/5/2008	60838.000730	11/914330	12/17/200	Valerio Bramati	Notice of Publication	USA
12/05/08	TAC/JRM	12/5/2008	64373.001015	11/748258	5/14/2007	John Petinarides	Notice of Publication	USA
12/05/08	TEA/DGV	12/5/2008	60291.000067	12/153174	5/14/2008	Wolfgang Reinert	Notice of Publication	USA
12/05/08	TEA/DGV	12/5/2008	60291.000060	11/908269	7/24/2008	Ralf Lerner	Notice of Publication	USA
12/05/08	TMM/YSS	12/5/2008	72167.000654	12/254333	10/20/200	Milton Anderson	Updated Filing Receipt	USA
12/05/08	TMM/DGV	12/2/2008	68071.000021	12/270326	11/13/200	Toshiyuki Yamam	Filing Receipt	USA
12/05/08	MPP	12/3/2008	64553.001250	12/206259	9/8/2008	Arnold Sepke	Updated Filing Receipt	USA
12/05/08	BMB/OAF/PLE	12/3/2008	54936.003014	61/116967	11/21/200	Steven Cichy	Filing Receipt	USA
12/05/08	JBV	12/3/2008	58001.000010	10/969930	10/22/200	Anthony Reid Har	Notice of Allowance and Issue Fee D	USA
12/05/08	TEA/RCL	12/2/2008	64470.000006	10/935118	9/8/2004	Ning Hung	Advisory Action	USA
12/05/08	RMS/JBV	12/3/2008	58767.000048	10/496820	11/19/200	Marie-Odile Galce	Advisory Action	USA
12/05/08	ECR	12/3/2008	68320.000031	11/996043	6/20/2008	John Mangiardi	Notice of Publication	USA
12/05/08	MPP	12/3/2008	69409.001022	29/267161	10/6/2006	Christian Agren	Letters Patent Grant	USA
12/05/08	LHP/DMB	12/3/2008	62732.001223	11/537968	10/2/2006	Jagan Thupari	Letters Patent Grant	USA
12/05/08	LHP/AHS	12/3/2008	62610.000035	10/724900	12/2/2003	Alexan Sulakvelid	Letters Patent Grant	USA
12/05/08	TMM/GYW	12/3/2008	72167.000588	11/350104	2/9/2006	Bruce Zimmerman	Letters Patent Grant	USA
12/05/08	TMM/GYW	12/3/2008	47004.000423	11/488783	7/19/2006	Bradley Strock	Supplemental Office Action	USA
12/05/08	RMS/JBV	12/3/2008	72934.000003	10/575236	11/16/200	Alain Gougeon	Election/Restriction Requirement	USA
12/05/08	TES	12/2/2008	67858.703600	11/870180	10/10/200	James Gregg	Office Action	USA

Date	Attorney	Mail Date	Client/Matter	Application No	Filing Date	Inventor/ Applicant	Correspondence	Country
12/05/08	RMS/DMB	12/3/2008	60838.000390	10/392123	3/19/2003	Mathieu Joanicot	Final Office Action	USA
12/05/08	BMB/DGV	12/3/2008	69385.000007	11/322159	12/29/200	Mark Kaplan	Final Office Action	USA
12/05/08	TMM/JRM	12/3/2008	72167.000570	10/026403	12/21/200	Lawrence Miller	Final Office Action	USA
12/05/08	BMB/DGV/SEO	12/2/2008	67519.001027	10/335398	12/31/200	Robert White	Notice of Abandonment	USA
12/05/08	JRM/TAC	12/4/2008	52493.000312	10/602593	6/25/2003	Viren Kapadia	Final Office Action	USA
12/05/08	YSS	12/4/2008	99997.029528	10/430401	5/7/2003	J.G. Ritter II	Office Action	USA
12/05/08	TMM/DGV/GYW	12/4/2008	73535.000003	11/802020	5/18/2007	Kiyoshi Kobayashi	Election/Restriction Requirement	USA
12/05/08	RMS/JBV	12/4/2008	68936.000203	11/317378	12/23/200	David Charles Ad	Office Action	USA
12/05/08	RMS/DMB	11/24/2008	60838.000340	10/499456	2/7/2005	Bruno Bavouzet	Final Office Action	USA
12/05/08	BMB/DGV/SEO	12/3/2008	67519.001028	10/334207	12/30/200	Vikas Bhatia	Office Action	USA
12/05/08	TMM/JSL	12/2/2008	72167.000564	09/894476	6/28/2001	Andrew Comas	Office Action	USA
12/05/08	RMS/DMB	12/2/2008	60838.000590	11/019827	12/22/200	Aline Seigneurin	Election/Restriction Requirement	USA
12/05/08	RMS/RLT/RJM	12/2/2008	73690.000140	10/766124	1/28/2004	Jane Hirsh	Office Action	USA
12/05/08	BMB/JAL	12/2/2008	53470.003037	09/883502	6/19/2001	William Hurwood	Final Office Action	USA
12/08/08	TMM/TAC	12/4/2008	56709.000018	11/931575	10/31/200	Michael Chad Holl	Interview Summary	USA
12/08/08	TMM/RAK/DDR	12/4/2008	60497.000041	10/869912	6/18/2004	Helen Bjork	Interview Summary	USA
12/08/08	TES/AHS/KJK	12/3/2008	67824.407433	11/932493	10/31/200	Mark Zoller	Express Abandonment	USA
12/08/08	TES/AHS/KJK	12/3/2008	67824.407434	11/932989	10/31/200	Mark Zoller	Express Abandonment	USA
12/08/08	TES/AHS/KJK	12/3/2008	67824.407431	11/932900	10/31/200	Mark Zoller	Express Abandonment	USA

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12/08/08	TEA/DGV	12/5/2008	60291.000065	11/995096	11/6/2008	Martin Ehlich	Filing Receipt	USA
12/08/08	TES/AHS/KJK	12/3/2008	67824.407430	11/932721	10/31/200	Mark Zoller	Express Abandonment	USA
12/08/08	TEA/JBB	12/5/2008	68865.001101	11/215958	8/30/2005	Curtis Anderson	Office Action	USA
12/08/08	BMB/DGV	12/4/2008	67519.001139	10/917570	8/13/2004	Michael Vincent B	Notice of Acceptance of Power of Atto	USA
12/08/08	TEA/PLE	12/4/2008	57983.000164	10/772433	2/6/2004	Marcus Leech	Office Action	USA
12/08/08	RAK/DDR	12/4/2008	54306.000187	12/273057	11/18/200	Oswald Baasch	Notice to File Missing Parts	USA
12/08/08	BMB/OAF/SLW	12/4/2008	54936.004178	29/328299	11/21/200	Steven J. Cichy	Notice to File Missing Parts	USA
12/08/08	TES/AHS/KJK	12/3/2008	67824.407417	11/939433	11/13/200	Mark Zoller	Express Abandonment	USA
12/08/08	RMS/DMB	12/4/2008	58766.000050	12/159374	6/26/2008	Pascal Mock	Corrected Filing Receipt	USA
12/08/08	TES	12/5/2008	60117.000011	10/872231	6/18/2004	Soren Hern	Election/Restriction Requirement	USA
12/08/08	TMM/JRM/DDD	12/4/2008	47004.000250	10/638648	8/12/2003	Russell Wayne An	Corrected Amendment	USA
12/08/08	RMS/DMB	12/5/2008	60838.000320	10/498208	10/12/200	Bruno Bavouzet	Final Office Action	USA
12/08/08	LHP/CJN	12/5/2008	62792.000022	11/522434	9/18/2006	Roger S. Cubiccio	Notice of Allowance and Issue Fee D	USA
12/08/08	TMM/OAF/SLW	12/5/2008	33616.005005	11/222018	9/9/2005	Ronald E. Miller	Final Office Action	USA
12/08/08	RMS/AHS/RAA	12/5/2008	58763.000008	09/722406	11/28/200	Jean Francois	Final Office Action	USA
12/08/08	TMM/YSS	12/5/2008	47004.000240	10/400407	3/28/2003	David Adam Jose	Office Action	USA
12/08/08	TEA	12/5/2008	57941.000023	10/667492	9/23/2003	Anthony Bessios	Office Action	USA
12/08/08	MPP	12/5/2008	66965.000005	11/864007	9/28/2007	Ernest Ogden	Office Action	USA
12/08/08	RMS/DMB	12/4/2008	67824.407528	11/599467	11/15/200	Jon Elliot Adler	Final Office Action	USA

Patent Application
U.S. Application No.: 10/022,438
Attorney Docket No.: 52493.000230

EXHIBIT D

Reply to the Notice of Non-Compliant Amendment

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Number : 10/022,438 Confirmation No.: 5099
Applicant : Allison Stoltz et al.
Filed : December 20, 2001
Title : SYSTEM AND METHOD FOR RISK ASSESSMENT
TC/Art Unit : 3623
Examiner: : David ROBERTSON

Docket No. : 52493.000230
Customer No. : 21967

U.S. Patent and Trademark Office
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RESPONSE TO NOTICE OF NON-COMPLIANT AMENDMENT
IN COMPLIANCE WITH 37 C. F. R. § 1.121

Sir:

Responsive to the attached U.S. Patent and Trademark Office "Notice of Non-Compliant Amendment" mailed November 6, 2008, Applicant resubmits herewith (as specified in boxes 4 C and E of the Notice):

1. Listing of the claims with proper status identifiers, including the proper status identifier for Claim 20, which begin on page 3.

Accordingly, it is now respectfully requested that the Response to the Non-final Office Action filed on October 9, 2008 is complete.

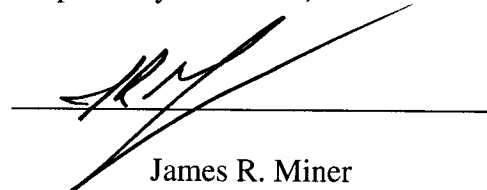
FEES

Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account 50-0206, and please credit any excess fees to such deposit account.

Respectfully submitted,

Dated: May 21, 2009

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Phone 703-714-7400
Fax 703-714-7410



James R. Miner
Attorney for Applicant
Registration No. 40,444

IN THE CLAIMS:

A listing of the status of all claims 1-26 in the present patent application is provided below:

1. **(Currently Amended)** A computer implemented method for use in compliance management, comprising:
 - presenting, via a computer network, a user with a series of questions relating to at least one business category;
 - soliciting, via the computer network, a response from the user for each question presented;
 - determining a detection index based on the number of responses, and corresponding answers, to each of the series of questions;
 - determining an occurrence index based on the potential consequence of non-compliance;
 - determining a standard severity risk index based on the expected severity of non-compliance; and
 - prioritizing, via the computer network, the at least one business category based on the user's responses and at least one total risk score comprising the product of the detection, occurrence and standard severity risk indices; and
 - displaying the prioritized at least one business category and at least one total risk score.
2. **(Currently Amended)** The computer implemented method of claim 1 wherein the user response comprises a "Yes" or "No."
3. **(Currently Amended)** The computer implemented method of claim 1 wherein the at least one standard severity risk index comprises a number between 1 and 10 corresponding to a specific level of risk.
4. **(Currently Amended)** The computer implemented method of claim 3 wherein the number "1" comprises the lowest level of risk severity, and the number "10" the highest level of severity.
5. **(Currently Amended)** The computer implemented method of claim 1 wherein the at least one standard severity risk index corresponds to the at least one business category.

6. **(Currently Amended)** The computer implemented method of claim 1 further comprising the step of determining a detection index based on the number of questions presented in the series of questions, the user's responses, and the number of users.

7. (Canceled)

8. (Canceled)

9. **(Currently Amended)** The computer implemented method of claim 1 further comprising ranking the at least one business category based on the at least one total risk score.

10. **(Currently Amended)** A computer based system for use in compliance management, comprising:

a query module associated with an engine for presenting at least one user with a series of questions relating to at least one business category, and for soliciting and receiving responses from the at least one user for each question presented;

a prioritization module associated with the engine for: (1) determining a detection index based on the number of responses to each of the series of questions, determining an occurrence index based on the potential consequence of non-compliance, and determining a standard severity risk index based on the expected severity of non-compliance, and (2) prioritizing the at least one business category based on the at least one user's responses and at least one total risk score comprising the product of a detection, occurrence and standard severity risk indices; and

an administration module associated with the engine for displaying the prioritized at least one business category and the at least one total risk score.

11. **(Currently Amended)** The computer based system of claim 10 wherein the series of questions are presented to the user over a communications network.

12. **(Currently Amended)** The computer based system of claim 10 further comprising ~~an~~ the-administration module associated with the engine for inputting, updating and accessing data associated with the query and prioritization modules, the administration module being accessible to an administrator of the system via an administration interface.

13. **(Currently Amended)** The computer based system of claim 10 wherein the user response comprises a "Yes" or "No" response.

14. **(Currently Amended)** The computer based system of claim 10 wherein the at least one standard severity risk index comprises a number between 1 and 10 corresponding to a

specific level of risk.

15. **(Currently Amended)** The computer based system of claim 14 wherein the number “1” comprises the lowest level of severity, and the number “10” the highest level of severity.

16. **(Currently Amended)** The computer based system of claim 10 wherein the at least one standard severity risk index corresponds to the at least one business category.

17. **(Currently Amended)** The computer based system of claim 10 wherein the detection index is based on the number of questions presented in the series of questions, the at least one user’s responses, and the number of users.

18. (Canceled)

19. (Canceled)

20. **(Currently Amended)** The computer based system of claim 10 wherein prioritization module further ranks the at least one business category based on the at least one total risk score.

21. **(Currently Amended)** The computer implemented method of claim 1 wherein the detection is determined by the following formula:

$$\text{Detection index} = \frac{\sum_{i=1}^n i(\# \text{ of answers}_i)}{(d)(n)},$$

wherein i refers to each possible response,

$\#$ of answers _{i} refers to the number of queries or questions that were answered with a particular response i ,

n refers to the total number of queries or questions in that category, and

d refers to the number of departments or units responding.

22. **(Currently Amended)** The computer implemented method of claim 1, wherein the occurrence index weighs the total risk score based on the potential consequences of non-compliance.

23. **(Currently Amended)** The computer implemented method of claim 1, wherein the potential consequence of non-compliance is based on the total number of agents or employees affected by non-compliance.

24. **(Currently Amended)** The computer implemented method of claim 1, wherein the potential consequence of non-compliance is based on the total number of policies in force.

25. **(Currently Amended)** A computer implemented method for use in compliance management, comprising:

presenting, via a computer network, at least one user with a series of questions relating to at least one business category;

soliciting, via the computer network, a response from the at least one user for each question presented;

determining a detection index based ~~directly~~ on the number of responses to each of the series of questions;

assessing a potential consequence of non-compliance, the potential consequence of non-compliance relating to parameters and the values of such parameters;

determining an occurrence index based ~~directly~~ on the potential consequence of non-compliance that was assessed, such that the occurrence index changes as the parameters associated with the potential consequence of non-compliance change, the occurrence index that is determined being one of at least three possible occurrence indices, the at least three possible occurrence indices being provided as possible occurrence indices;

determining a standard severity risk index based ~~directly~~ on the expected severity of non-compliance; and

prioritizing, via the computer network, the at least one business category based on the at least one user's responses and at least one total risk score, the at least one total risk score being based on the detection index, the occurrence index, and standard severity risk index; and

the total risk score being determined as equal to the product of the detection index, the occurrence index, and the severity risk index, such that the higher the total risk score, the more severe the risk of non-compliance; and

wherein the determining being performed such that:

the detection index weighing the total risk score based on the responses provided

to the individual questions;

the occurrence index weighing the total risk score based on the potential consequences of non-compliance; and

the severity risk index weighing the total risk score based on the expected severity of non-compliance; and

the method further including associating each business category with particular detection, occurrence, and severity risk indices.

26. **(Currently Amended)** The computer implemented method of claim 1 wherein the detection index is determined by a relationship between the number of queries or questions that were answered with a particular response, the total number of queries or questions in the category, and the number of departments or units responding.



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Paper No.

Application No.:	10/022,438 	Date Mailed:	11/06/2008
First Named Inventor:	Stoltz, Allison,	Examiner:	ROBERTSON, DAVID
Attorney Docket No.:	52493.000230	Art Unit:	2121
Confirmation No.:	5099	Filing Date:	12/20/2001

Please find attached an Office communication concerning this application or proceeding.

Commissioner for Patents

Notice of Non-Compliant Amendment (37 CFR 1.121)	Application No. 10/022,438	Applicant(s) STOLTZ, ALLISON	
		Art Unit 1700	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

The amendment document filed on 09 October, 2008 is considered non-compliant because it has failed to meet the requirements of 37 CFR 1.121 or 1.4. In order for the amendment document to be compliant, correction of the following item(s) is required.

THE FOLLOWING MARKED (X) ITEM(S) CAUSE THE AMENDMENT DOCUMENT TO BE NON-COMPLIANT:

- ☐ 1. Amendments to the specification:
 - ☐ A. Amended paragraph(s) do not include markings.
 - ☐ B. New paragraph(s) should not be underlined.
 - ☐ C. Other _____.
- ☐ 2. Abstract:
 - ☐ A. Not presented on a separate sheet. 37 CFR 1.72.
 - ☐ B. Other _____.
- ☐ 3. Amendments to the drawings:
 - ☐ A. The drawings are not properly identified in the top margin as "Replacement Sheet," "New Sheet," or "Annotated Sheet" as required by 37 CFR 1.121(d).
 - ☐ B. The practice of submitting proposed drawing correction has been eliminated. Replacement drawings showing amended figures, without markings, in compliance with 37 CFR 1.84 are required.
 - ☐ C. Other _____.
- ☒ 4. Amendments to the claims:
 - ☐ A. A complete listing of all of the claims is not present.
 - ☐ B. The listing of claims does not include the text of all pending claims (including withdrawn claims)
 - ☒ C. Each claim has not been provided with the proper status identifier, and as such, the individual status of each claim cannot be identified. Note: the status of every claim must be indicated after its claim number by using one of the following status identifiers: (Original), (Currently amended), (Canceled), (Previously presented), (New), (Not entered), (Withdrawn) and (Withdrawn-currently amended).
 - ☐ D. The claims of this amendment paper have not been presented in ascending numerical order.
 - ☒ E. Other: CLAIM 20.
- ☐ 5. Other (e.g., the amendment is unsigned or not signed in accordance with 37 CFR 1.4): For further explanation of the amendment format required by 37 CFR 1.121, see MPEP § 714.

TIME PERIODS FOR FILING A REPLY TO THIS NOTICE:

1. Applicant is given **no new time period** if the non-compliant amendment is an after-final amendment or an amendment filed after allowance, or a drawing submission (only) If applicant wishes to resubmit the non-compliant after-final amendment with corrections, the **entire corrected amendment** must be resubmitted.
2. Applicant is given **one month**, or thirty (30) days, whichever is longer, from the mail date of this notice to supply the correction, if the non-compliant amendment is one of the following: a preliminary amendment, a non-final amendment (including a submission for a request for continued examination (RCE) under 37 CFR 1.114), a supplemental amendment filed within a suspension period under 37 CFR 1.103(a) or (c), and an amendment filed in response to a Quayle action. If any of above boxes 1 to 4 are checked, the correction required is only the corrected section of the non-compliant amendment in compliance with 37 CFR 1.121.

Extensions of time are available under 37 CFR 1.136(a) only if the non-compliant amendment is a non-final amendment or an amendment filed in response to a *Quayle* action.

Failure to timely respond to this notice will result in:

- Abandonment** of the application if the non-compliant amendment is a non-final amendment or an amendment filed in response to a *Quayle* action; or
- Non-entry** of the amendment if the non-compliant amendment is a preliminary amendment or supplemental amendment.

Legal Instruments Examiner (LIE), if applicable /ANNIE c. SINGLETON/ Telephone No: (571)272-1049

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PATENT APPLICATION FEE DETERMINATION RECORD Substitute for Form PTO-875				Application or Docket Number 10/022,438		Filing Date 12/20/2001		<input type="checkbox"/> To be Mailed	
APPLICATION AS FILED – PART I									
(Column 1)		(Column 2)		SMALL ENTITY <input type="checkbox"/> OR		OTHER THAN SMALL ENTITY			
FOR	NUMBER FILED	NUMBER EXTRA	RATE (\$)	FEE (\$)	OR	RATE (\$)	FEE (\$)		
<input type="checkbox"/> BASIC FEE (37 CFR 1.16(a), (b), or (c))	N/A	N/A	N/A			N/A			
<input type="checkbox"/> SEARCH FEE (37 CFR 1.16(k), (l), or (m))	N/A	N/A	N/A			N/A			
<input type="checkbox"/> EXAMINATION FEE (37 CFR 1.16(o), (p), or (q))	N/A	N/A	N/A			N/A			
TOTAL CLAIMS (37 CFR 1.16(l))	minus 20 =	*	X \$ =		OR	X \$ =			
INDEPENDENT CLAIMS (37 CFR 1.16(h))	minus 3 =	*	X \$ =			X \$ =			
<input type="checkbox"/> APPLICATION SIZE FEE (37 CFR 1.16(s))			If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).						
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(j))									
* If the difference in column 1 is less than zero, enter "0" in column 2.									
APPLICATION AS AMENDED – PART II									
(Column 1)		(Column 2)		(Column 3)		SMALL ENTITY		OR OTHER THAN SMALL ENTITY	
AMENDMENT	10/09/2008	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	* 22	Minus ** 22	= 0	X \$ =		OR	X \$52=	0
	Independent (37 CFR 1.16(h))	* 2	Minus *** 3	= 0	X \$ =		OR	X \$220=	0
<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))									
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))									
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	0
(Column 1)		(Column 2)		(Column 3)		SMALL ENTITY		OR OTHER THAN SMALL ENTITY	
AMENDMENT		CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE (\$)	ADDITIONAL FEE (\$)	OR	RATE (\$)	ADDITIONAL FEE (\$)
	Total (37 CFR 1.16(i))	*	Minus **	=	X \$ =		OR	X \$ =	
	Independent (37 CFR 1.16(h))	*	Minus ***	=	X \$ =		OR	X \$ =	
<input type="checkbox"/> Application Size Fee (37 CFR 1.16(s))									
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(j))									
					TOTAL ADD'L FEE		OR	TOTAL ADD'L FEE	
* If the entry in column 1 is less than the entry in column 2, write "0" in column 3. ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20". *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3". The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.									

Legal Instrument Examiner:
/ANNIE c. SINGLETON/

This collection of information is required by 37 CFR 1.16. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.